Guidelines for the

Doctoral Degree

in

Therapeutic Science

Department of Occupational Therapy Education
University of Kansas Medical Center

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THE DOCTORAL PROGRAM IN THERAPEUTIC SCIENCE

INTRODUCTION

Given the multidimensional nature of disability, we believe that an interdisciplinary approach is necessary in order to produce knowledge that improves quality of life for individuals with disabilities. This approach requires a "melding of knowledge from several disciplines to understand the fundamental nature of the enabling-disabling process, that is, how disabling conditions develop, progress, and reverse, and how biological, behavioral, and environmental factors can affect these transitions" (Brant & Pope, 1997, p. 4). The knowledge that comes out of such an approach can then be translated into strategies that prevent or remove functional impairments, and minimize disabling processes that lead to further impairment and limitations.

In addition to an interdisciplinary approach to understanding disability, the Therapeutic Science program is designed to incorporate the concepts of Intervention Research: knowledge development, knowledge utilization, and research design and development (Rothman & Thomas, 1994). Knowledge development in intervention research produces information that contributes to understanding the features of practical problems. The knowledge utilization process converts information from theory and empiricism to knowledge having an application thrust. Research design and development methods guide researchers to develop innovative ways to effect change.

In addition to the material presented in this Therapeutic Science Student Handbook, all students also should read and understand the KUMC Student Handbook (http://www.kumc.edu/studenthandbook/) and the Graduate Studies section of the Academic Catalog (http://catalog.ku.edu/graduate-studies/kumc/) . If a discrepancy appears to be present among these documents, please don’t hesitate to speak with a faculty member and/or with the OT Department’s Graduate Director.

Speaking of guidance, you will work closely with two faculty members in particular, an academic advisor earlier in the program and a research mentor as you develop a research focus later in the program. The academic advisor’s role is to provide guidance on selecting courses, course sequence, workload, etc. The research mentor’s role is to provide guidance in developing a research focus and to support the student’s acquisition of research skills. You will be assigned an academic advisor once you notify us you’ll be enrolling in the Therapeutic Science program, and you should plan to contact and get to know that faculty member as soon as possible. Ideally, students arrive in the program having established a relationship with their research mentor, or a clear idea of the faculty with whom the student is likely to conduct research. Do not wait to explore options for whom may be a suitable research mentor, as many elements dynamically factor into a faculty member’s availability to mentor a research student.

TIME LIMITATIONS

Doctoral students at the University of Kansas Medical Center are allowed up to eight (8) years for completion of all degree requirements. Most students require less than the maximum period, often completing their PhD program within 4-5 years after beginning their studies.
COURSE WORK
The Therapeutic Science doctoral program includes a core curriculum for all students and at the same time provides each student with the opportunity to create a course of study to meet his or her professional objectives. Students receive a foundation of basic knowledge as well as multidisciplinary perspectives on the issues and problems related to individuals with disabilities. Upon completion of this program, students will be prepared for academic, research, and leadership careers with institutions and agencies serving individuals with disabilities and their families.

The area of study defined for Therapeutic Science doctoral students is the impact of disability on individuals, families, and communities. Complex issues such as aging and stroke, mental health, community development, autism, health behavior, and policy development are best understood from an interdisciplinary perspective. These are also areas in which Therapeutic Science faculty have expertise to guide students in the acquisition of knowledge and skills.

Summary of Curriculum Structure
The Therapeutic Science Doctoral Program is composed of the following components: (a) a core curriculum that includes foundation theory knowledge and a series of core courses, (b) interdisciplinary content coursework and advanced study courses, (c) design and methods and analysis coursework, (d) dissertation work, and (e) competency attainment.

Please note that the requirements listed below assume that the student already has at least 24 graduate credit hours accumulated toward a master's degree. The curriculum outlined below comprises a minimum of 60 credit hours in addition to any existing credits the student has earned prior to beginning the program. Note that most Therapeutic Science students accumulate more than the 60-credit minimum by the end of their program.

The PhD flowchart in Appendix A describes the timeline of academic responsibilities in the Therapeutic Science Program.

Core Courses
- TS 850 From Beliefs to Evidence in Scientific Inquiry: An interdisciplinary journey (2 credits)
- TS 900 Evolving Interdisciplinary Views of Disablement (2 credits)
- TS 950 Designing Effective Knowledge Transfer (2 credits)

Elective Courses
- Advanced Theory (Interdisciplinary) elective (3 credits) Students will identify and explore key theories through enrollment in an advanced theory course having an emphasis on clinical reasoning. Students will demonstrate an understanding of contemporary theories and be able to compare and contrast key theories, while also developing knowledge about theory-guided research and interventions.
- Two interdisciplinary electives (6 credits) In consultation with mentors, the student will choose a content emphasis and select a series of interdisciplinary courses around that emphasis. The selection of courses for each student will be guided by a significant scientific or professional problem identified by the student, and the associated research area of interest.
- Advanced Study Elective: (3 credits) This course will allow the student to pursue an in-depth study of their content emphasis.
Focused Scholarship [use TS 880 for these credits]
Work with a research mentor to complete work, e.g., literature, studies, mentoring, publication
Must submit at least 2 publications to refereed sources [before dissertation work]
Must accumulate at least 12 credits here

Research Design, Methods, & Analysis
The Program requires a minimum of 6 hours of research design and methods, 6 hours of analysis, although most students take more than the minimum 12 hours to be ready to conduct independent research.

Competency Attainment [see details below]
Doctoral programs at KU require documentation of attaining competency in research skills and responsible scholarship (the RS & RS requirement). The Therapeutic Science program also requires documenting development of leadership skills. The interdisciplinary nature of this program precludes setting standardized criteria for meeting these competencies. Instead, students must submit to their research mentor a detailed description of how they have achieved these competencies (see Appendix C). This documentation will be reviewed by the mentor and another graduate faculty member as part of the evaluation process determining the student’s suitability as a doctoral candidate.

Comprehensive Written Exams [see details below]
For the Therapeutic Science Program, students must pursue and complete at least 3 scholarly activities related to their dissertation work. These typically are comprehensive reviews of the literature on topics that will lead to the dissertation, prepared as submission-ready publications. These activities should reflect the extensive scholarship associated with the dissertation process, supporting development of the research focus and providing a synthesis of what is known and needs to be known in relation to this research topic. Students have the option to pursue a research project preliminary to but aligned with the intended dissertation research, taking the form of a pilot research study, to learn methodology or other research skills applicable to the dissertation. The research mentor can require one or more of the final, approved versions of these scholarly activities to be submitted as peer-reviewed articles, as a requirement of the written examination. This work is undertaken while enrolled in TS 980 Advanced Study in Therapeutic Science.

Dissertation Research [see details below]
Students develop a novel independent research project that contributes interdisciplinary knowledge for their dissertation. Students must complete a minimum of 18 credits distributed across the TS 980 and TS 990 courses before the dissertation examination, and to be continuously enrolled according to university requirements. In our program, this process is divided into 2 parts:
1. TS 980 Advanced Study in Therapeutic Science
   Students complete their comprehensive written exams, and prepare and defend their proposed dissertation research (as the “oral comprehensive examination”) under this course number.
2. TS 990 Dissertation
   Students obtain Human Subjects approval, collect data, analyze, interpret, write their dissertation paper[s], and defend the dissertation research under this course number.

A recurring point of confusion for students is an “18 credit hour” requirement from the Office of Graduate Studies. This related to the number of post-comprehensive credit hours needed before a student can reduce their enrollment from full-time to as little as 1 credit per term. Only the post-comprehensive hours accumulated when enrolled in TS 990 will be counted toward this enrollment-related requirement.
Grading Scale
The following grading scale will be employed:

- A – 90 – 100%
- B – 80 – 89%
- C – 70 – 79%
- Unsatisfactory/Fail < 75%

Note that other grade formats may be used by some courses, particularly in those taught in other programs. Students should be aware that courses taught with a “Pass/Fail” format are not eligible for graduate credit in the Therapeutic Science program (per guidelines set forward by KUMC’s Office of Graduate studies). The “Pass/Fail” format is most commonly used in courses taught at KU-Lawrence campus. If you feel a particular course using the “Pass/Fail” format is appropriate and necessary for your program of study, please discuss options with your academic advisor prior to enrolling in that course.

A peculiarity of the dissertation grading process at KU Medical Center, designed to acknowledge the nature of dissertation research, is that a “P” (“progress”) awarded for satisfactory post-comprehensive dissertation research each semester until the end of the dissertation. Once the dissertation has been defended successfully and the final version of the dissertation submitted, the “Progress” grade for all prior semesters is automatically converted to the final dissertation grade.

RESEARCH SKILLS and RESPONSIBLE SCHOLARSHIP REQUIREMENT
This requirement for the Therapeutic Science doctorate is designed to meet the RS&RS requirement for Graduate Studies at the University of Kansas and KU Medical Center and apply to all Therapeutic Science students entering the program in the Fall of 2011 or afterward. In essence, every doctoral student is required to have training in responsible scholarship and to obtain the research skills pertinent to their area of study. It is the purview of the Therapeutic Science program to determine the necessary topics in training doctoral students in these areas of competency.

The goal of the RS&RS requirement is to support the student in developing tools necessary for conducting ethical research, pursuing scholarly endeavors, and addressing research questions through a process that is thoughtful, strategic, and evidence-based. Meeting the RS&RS requirement ensures the student is capable of implementing design and analysis procedures, instructional approaches, and service activities appropriate to the chosen content emphasis (See RS&RS Worksheet, Appendix C). Your academic advisor and fellow students can give you examples of experiences and skills to include in your RS&RS Worksheet. Note that a listing of courses you have taken is not sufficient; you’ll also need to explain your rationale for taking these particular courses, in relation to the direction and focus of your dissertation research. We suggest that students consider training in grant-writing, either for NIH and other Federal agencies or for Foundations and private agencies, as an element of the RS&RS process. Training offered through non-KUMC organizations many be suitable for Independent Study credit, with prior approval by the student’s mentor.
Research Skills
Research design and methodology, methods of qualitative data analysis, methods of quantitative data analysis, computer programming appropriate to the study or analysis, laboratory skills or other research techniques necessary for the discipline, knowledge of languages appropriate to the field of study.

Examples: coursework in study design, data management and analysis, grant writing, survey development, and statistical testing methods. Participation in short courses, workshops, or research institutes. Practical experience in laboratory or other research settings appropriate for the area of study.

Responsible Scholarship
Protection of human subjects, welfare of laboratory animals, conflicts of interest, data management, Mentor/student responsibilities, collaborative research, authorship/publication/plagiarism/copyright, peer review, professional practices, maintenance of confidentiality, appropriate research conduct, and identifying research misconduct. In addition, Therapeutic Science students must demonstrate competency in the areas of applied research, teaching, and service as these areas relate to ability and disability. Program faculty will mentor students as they obtain these skills and apply them in the student’s selected emphasis area.

Examples: complete coursework in these or related topics, participation in research ethics seminars, review of scientific reports or grants as appropriate.

Applied research skills
Research design, analysis, & dissemination; these skills are beyond those of the basic research requirements for doctoral degrees, and should include advanced training in theory and in practical applications of multiple research methodologies (e.g., beyond those employed in the dissertation research).

Examples: write and submit a grant; present at professional meetings; submit scholarly papers for publication; participate in a research study or data collection/analysis separate from the dissertation; conduct & interpret an advanced data analysis; direct a research project separate from the dissertation; participate as a core member of an interdisciplinary research team; implement and interpret a program evaluation; single subject/group quasi-experimental design, qualitative design/methodology, case study analysis, or other advanced design or analysis techniques.

Teaching
Curriculum development, course development/lectures, continuing education, client education, staff development, advocacy.

Examples: Making presentations at professional meetings; develop and/or teach a course or portion of a course; conduct in-service or continuing education workshops for professionals; develop and implement education materials for clients or the general public; participate in public debate related to professional issues; submit an opinion paper to a public forum.

Service
Provide leadership in practice, education, or research settings, participate in committees and/or outreach experiences.
Examples: Fieldwork advisory forum, provide technical assistance or mentoring; committees at departmental, school, or university level, or in professional settings or organizations; organize or participate in volunteer or other service activities that benefit from the student’s expertise.

The student’s research mentor and another member of the graduate faculty from OT Education are responsible for confirming the student successfully has met the RS&RS requirement. The RS & RS Worksheet (see Appendix C) is used to provide structure for this evaluation. Students must submit a list of courses taken and a detailed description of how they have achieved competencies in the domains listed above. In the narrative section of that worksheet, the student must provide a clear rationale for why these courses were selected and how they support your development as a researcher. This documentation will be reviewed by your research mentor and one other member of the graduate faculty from the OT Education program as part of an evaluation process determining the student’s suitability as a doctoral candidate. Once both faculty have approved the RS & RS document, one copy should be uploaded to the student’s folder on the shared S:/ drive and an electronic version sent to the Graduate Director to be appended to the Progress to Degree form.

The RS&RS requirement must be met prior to taking the oral comprehensive examination (e.g., defense of the dissertation proposal) in the Therapeutic Science program. Past activities or courses completed as part of other degree programs will not satisfy this requirement.

Note that during the RS&RS and the pre-comprehensive phases of the doctoral program, students should enroll in TS 980: Advanced Study in Therapeutic Science. Once the RS&RS requirement has been satisfied, and the oral comprehensive examination has been passed, the student may enroll in TS 990: Dissertation for the final, dissertation-only phase of the doctoral program. Also note that KU’s Graduate Studies policy requires doctoral students to be enrolled continuously (Winter, Summer and Fall terms) once the comprehensive exam has been passed (See Graduate Studies Catalog).

Written Preliminary Examination Process (“comps”):
Once a major portion of the program coursework and the Research Skills competency requirement is completed or being evaluated, each student will demonstrate scholarship related to their dissertation topic through a series of written documents. The topics for each paper are selected in consultation with the research mentor. Students should expect the process to demand a good deal of time and ongoing revision as the structure and content of the work evolves. The collection of three scholarly documents will be evaluated by the student’s mentor and other appropriate program faculty. The Letter to Evaluators (Appendix D) provides further detail regarding what should be included in this phase of the student’s progress toward the dissertation. These three activities of the pre-dissertation phase together comprise the “written preliminary examination.” These three scholarly activities, together with approval of the RS & RS document, must be completed successfully before a student can defend the dissertation proposal.

A requirement of the Therapeutic Science program is the student’s dissertation-related work will result in at least two articles under review or accepted by peer-reviewed journals. One possibility for meeting this requirement is to develop one or more of these written preliminary examination activities with the goal of submitting the resulting documents for publication in a peer-reviewed journal. Students are encouraged to
discuss this option with their mentor early in the writing process in order to develop an efficient strategy to approach completing these activities.

Note the “Oral Comprehensive Examination” required by Graduate Studies is a separate endeavor discussed below, and consists of a written dissertation proposal coupled with an oral defense of that dissertation proposal. Do not confuse it with the “comprehensive” written preliminary examination described here.

<table>
<thead>
<tr>
<th>Steps in Written Preliminary Exam Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Student selects Research Mentor and problem area for 1st scholarly activity</td>
</tr>
<tr>
<td>☐ Student and Research Mentor begin to develop focus question for 1st scholarly activity</td>
</tr>
<tr>
<td>☐ Student and Research Mentor identify two other suitable members of the examining committee. All must be members of the KUMC/KU Graduate Faculty. Outside faculty or experts can be included as committee members, but will need to be added to the Graduate Faculty. This requires at least 1 week, so addressing this detail early in the process is wise.</td>
</tr>
<tr>
<td>☐ Student meets informally with individual potential committee members to describe the project, provide a timeline, and obtain agreement to serve on committee. Research mentor will confirm the committee roster and timeline, and provide details of the committee’s responsibilities.</td>
</tr>
<tr>
<td>☐ Student submits a proposed outline for the scholarly activity to the Research Mentor for feedback</td>
</tr>
<tr>
<td>☐ Student develops the scholarly activity, employing resources as needed to address the question fully, completely, and in an evidence-based manner. The end product should represent the student’s independent work, although seeking guiding input as needed from peers or others who are not members of the examining committee is appropriate.</td>
</tr>
<tr>
<td>☐ When satisfied with completeness of the scholarly activity, the Research Mentor will provide the document(s) to the examining committee, reiterating the committee’s responsibilities. All three committee members must agree on the acceptability of the activity for a “Pass” to be awarded. Committee members may require revisions to the document be addressed prior to acceptance.</td>
</tr>
<tr>
<td>☐ During or after the scholarly activity, the student may begin to consider options for the next activity, in consultation with the Research Mentor. The steps above are repeated.</td>
</tr>
<tr>
<td>☐ The Research Mentor is a member of all three examining committees. The other members may be the same or different.</td>
</tr>
<tr>
<td>☐ The Research Mentor will inform the Graduate Director when each successive scholarly activity has been completed.</td>
</tr>
<tr>
<td>☐ The Research Mentor will update the student’s PhD Tracking Form, provide a copy to the student, and place an updated copy in the student’s folder on the shared S:/drive.</td>
</tr>
</tbody>
</table>

There is no specified length of time required for completing each of the three written preliminary examinations, although the student is cautioned not to linger on any single activity. Typically, students require approximately 2-3 months of focused work to complete each of these substantial activities with a sufficient depth and attention to detail. Note that all three activities and the RS & RS requirement all must be completed successfully prior to undertaking the oral comprehensive examination (defense of
the dissertation proposal), and that the oral comprehensive examination must be completed at least 5 months before the dissertation examination.

THE DISSERTATION PROCESS
In overview, the dissertation process consists of four phases (details provided on subsequent pages):

Phase 1: developing and defending the dissertation proposal (in written & oral formats),
Phase 2: conducting the dissertation research,
Phase 3: writing the dissertation document
Phase 4: submitting at least 2 articles as peer-reviewed publications,
Phase 4: defending the dissertation.

During the written preliminary examinations (described in the “comps” section above) and phase 1 of the dissertation process (written & oral defense of the dissertation proposal), students will enroll in TS 980: Advanced Study in Therapeutic Science. After successfully defending the dissertation proposal (phase 2-4 of the dissertation process), students will enroll in TS 990: Dissertation.

Residency and other requirements

• You must be able to document you have been enrolled in two semesters of full-time coursework (9 credit hours fall & spring terms, or 6 credit hours in the summer) or a combination of coursework and appointment as a teaching or research assistant. You will need to document meeting the residency requirement when the Graduate Director prepares the Progress to Degree application for the oral comprehensive examination.

• At this time, online and distance education courses (even those offered through KU/KUMC) DO NOT apply toward meeting the residency requirement (See page 19 of the Graduate Studies Catalog). You have the option to petition for an exception to this rule. If you are considering petitioning, speak with the Graduate Director BEFORE enrolling in the course, to obtain a clear idea of the potential for your petition’s success.

• Students who are both 1) working full-time and 2) working in a job related to their area of doctoral study can petition the Office of Graduate Studies to be considered as having full-time status when enrolled for 6 hours in the fall & spring terms, or 3 hours in the summer. Speak with the Graduate Director if you think this may apply to you – but don’t assume that it does without first seeking approval! Your mentor and/or the Graduate Director will help you to write a petition to the Graduate Studies office seeking a work-related reduction in the number of hours required or be considered full-time.

• Once a student passes the Oral Comprehensive Examination (defense of the dissertation proposal), you must remain continuously enrolled until the dissertation is completed. This means taking at least 1 credit hour each term (fall, spring, & summer), typically in TS 990.

• A minimum of 5 months must elapse between passing the oral comprehensive examination and defending the dissertation.

• If you choose to not enroll in classes for a period of time, be aware the Registrar will assess campus fees retroactively for those terms when you later attempt to enroll in classes. An
exception is when a formal leave of absence has been granted. In that case, fees will not be applied retroactively for the period covered by the Leave of Absence (typically a 12-month period). A leave of absence will not be approved to cover past terms when the student was not enrolled, however. If you anticipate requiring a leave of absence, please speak with your mentor(s) or the TS graduate director to seek guidance on how to apply for a leave of absence.

• Students must be enrolled in coursework during the term in which they graduate. An exception is allowed when a student defends the dissertation successfully but cannot complete the revisions prior to the deadline for submitting the final version of the dissertation. If the student does then submit the final version before the end of the 3rd week of classes in the next term, the student can graduate at the end of that next term without needing to be enrolled. You should consult with the Graduate Director if you anticipate this unusual situation may apply to you – do not assume! Please visit the Registrar’s official academic calendar website for details.

PHASE 1: DEVELOPING THE DISSERTATION PROPOSAL

Students are encouraged to attend a wide variety of seminars to become aware of the range of research interests among faculty inside and outside the OTEd department. The student bears responsibility to speak with faculty members when trying to determine a research topic and choose a research mentor. The Graduate Director is a good resource for helping identify possible options. Because faculty teaching and advising loads vary year to year, it is important for students recognize the need for flexibility in developing relationships with several faculty members who might be available to be research mentors. The research mentor should be identified no later than when beginning phase 1 of the dissertation process.

The student develops the research proposal with input and guidance from the Research Mentor/Dissertation Chair and members of the Dissertation Committee (see below). The research proposal serves to focus the student’s efforts and define the nature and scope of the research project. A clear, well-defined proposal will increase the likelihood of a successful project and document the student and all members of the Dissertation Committee clearly understand the direction the student will take. Following is a discussion of the stages involved in proposal development.

1. Selection of Research Mentor and Committee

Dissertation Committee members must have graduate faculty appointments at the University of Kansas. The Research Mentor/Dissertation Chair must have both dissertation status and be a member of the Occupational Therapy Education Graduate Faculty. There is a minimum of five committee members required. At least two of those members must be from outside the Occupational Therapy Education Department. One of the members from outside the department serves as the “fifth member,” holds a specific role as a representative of Graduate Studies, and must meet specific requirements (see page 20 of the Graduate Studies Catalog). A further factor to consider is that the Dissertation Chair, a Dissertation co-Chair (if there is one), and the “fifth member” all must be physically present for examinations. A virtual presence is not acceptable.

It is the student’s responsibility to seek a research mentor from among the graduate faculty in the OT Education department who are eligible to chair a dissertation committee. Students should seek a research mentor during the application process, or as early in their progress through the program as possible. The mentor typically shares common research interests and possesses appropriate expertise to guide the
student’s development. The Graduate Director will help guide you toward possible options. Faculty are not obligated to mentor a student having divergent interests from their own programs. The student should consider:

1. the mentor’s interest and experience in the area of research;
2. the mentor’s availability to the student during the planning and implementation periods for the purpose of ongoing advising; and
3. the qualities that will create a compatible working relationship.

Role of Dissertation Chair
The role of the Research Mentor is to serve as the Dissertation Chairperson and to provide ongoing guidance to the student while the research project is in progress. The research mentor:

1. offers suggestions and critiques the planning and development of all phases of the research;
2. gives the student opportunity for independent problem-solving;
3. assist’s the student’s efforts to coordinate committee activities if concerns arise;
4. communicates with the student regarding conclusions of the Committee;
5. provides student with a summary of the committee members’ comments after preliminary and final defense;
6. provides consultation to the other committee members, if requested;
7. evaluates the quality of the student’s progress on the research project; and
8. provides feedback to the student in addition to formal committee meetings.

Once a faculty member has agreed to serve as a student’s Research Mentor, the mentor then assists the student in developing a dissertation committee, consisting of at least four additional members.

Role of Committee Members
When the student has identified a suitable research question and a faculty member has agreed to be the Research Mentor, they confer to choose other committee members with knowledge and expertise in related relevant areas. The student should be developing relationships with outside faculty throughout coursework and the comprehensive examination process. The research mentor carries primary responsibility for supervision of the research project. The student and research mentor will consult other committee members as needed.

The role of each Dissertation Committee member is to:

1. assume responsibility as a resource person in the area of expertise which the student identified in selecting the faculty member as a committee member, e.g., clinical OT, research design, statistics;
2. serve as an objective reviewer of the proposal as well as the completed dissertation;
3. attend the dissertation proposal defense;
4. critically review and evaluate the dissertation on completion for internal consistency and merit;
5. attend the dissertation defense; and
6. sign the approved dissertation.
7. One member from outside the department must serve as a representative of Graduate Studies and must have regular faculty status. This person is a voting member of the committee, fully participates in the examination and reports any unsatisfactory or irregular aspects of the
examination to the committee chair, department chair, Graduate Division and Graduate Studies.

II. Selection of a Problem

Selection of a research problem begins with identification of a content area in which the student has some knowledge or interest and in which there is faculty expertise. The student collaborates with the Research Mentor to identify the research problem, thus the research mentor should be identified early in the student’s academic program. The student will select a methodology appropriate for the research question, subject to approval by the research mentor.

III. Submission and Approval of Proposal

Once the student has identified committee members, the student and Research Mentor begin to develop the research proposal. Students are encouraged at this point to consult with their committee members for additional guidance. In addition, the Research Mentor may elect to discuss the proposal with other graduate faculty. At the end of the proposal development process, the student produces a written proposal document. The written proposal consists of four parts: (1) a comprehensive literature review, (2) a problem statement, (3) a description of the methods to be used in the dissertation research, and (4) an analysis plan.

<table>
<thead>
<tr>
<th>Steps in Dissertation Proposal Development Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Student selects Research Mentor and problem area</td>
</tr>
<tr>
<td>☐ Student and Research Mentor begin to develop research ideas</td>
</tr>
<tr>
<td>☐ Student and Research Mentor identify other committee members</td>
</tr>
<tr>
<td>☐ Student meets informally with individual faculty (potential committee members), describes the project, and obtains agreement to serve on committee</td>
</tr>
<tr>
<td>☐ Student consults with other committee members, as needed</td>
</tr>
<tr>
<td>☐ Student submits proposal to Research Mentor for feedback</td>
</tr>
<tr>
<td>☐ When Research Mentor is satisfied with proposal, student is ready for defense</td>
</tr>
<tr>
<td>☐ The Research Mentor will forward a copy of the written proposal to the members of the examining committee, along with information about the examination requirements and process.</td>
</tr>
<tr>
<td>☐ The student is responsible for coordinating the committee members’ schedules to determine a suitable date, time and location for the oral comprehensive examination. This must be at least 2 weeks after the Progress to Degree form is submitted by the Graduate Director.</td>
</tr>
<tr>
<td>☐ The Research Mentor will notify the Graduate Director of the pending examination with sufficient forewarning to allow preparation of the Progress to Degree and accompanying documentation. The Progress to Degree application must be submitted at least 2 weeks prior to the date for oral defense of the dissertation proposal.</td>
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</tbody>
</table>
Guidelines for preparing the four sections of the written proposal

The student works on the written proposal with the Research Mentor. Proposal revisions continue until the mentor believes the document is ready to be submitted for the defense. It will be necessary to rewrite the proposal or sections of the proposal several times. This is not unusual and should be accepted by the student as an essential part of the learning process for novice researchers. Students are encouraged to seek conceptual input from faculty and other content experts in developing the proposal, but the bulk of the proposal must be a product of the student’s insights and the synthesis of existing knowledge with the question(s) proposed for study.


1. Comprehensive Literature Review
   **Introduction:** Provide a brief (1-2 paragraphs) description of the area you will be studying. It is helpful to frame your introduction in relation to what the profession needs or what would make practice better.
   **Literature review:** The comprehensive literature review must demonstrate the student’s knowledge of both benchmark and current literature in the chosen problem area. The review must provide a synthesis and integration of literature that illustrates the status of knowledge in the relevant problem area and provides a rationale for the dissertation study. The literature review must be constructed so that it leads to the problem to be addressed in the dissertation study and motivates that study.

2. Problem Statement
   The problem statement describes the problem addressed in the dissertation study. Explain the problem clearly as an outgrowth of deficiency in knowledge in your area of study, as described in the literature review.
   **Purpose:** State explicitly the purpose of your study. The problem statement is usually more general; be specific here about what your study will accomplish.
   **Specific hypotheses, predictions, or research questions:** Hypotheses or predictions should be stated clearly. Be sure to provide a rationale for the hypotheses or predictions. In some cases, research questions or objectives may be more appropriate than hypotheses. If so, be sure to state clearly the research questions your study will address.

3. Methods
   This section needs to be detailed enough to allow replication of your study. It includes the following subsections (or equivalent subsections appropriate to your study design and approach):
   **Research participants:** Describe the sample you intend to recruit for your study, including methods of recruitment and sample size as well as a description of the inclusion/exclusion criteria required for participation.
   **Setting:** Describe where the study will take place and any salient features of the setting that might affect data collection or interpretation.
   **Materials / Instrumentation:**
Describe any tools, measurement devices, tests, or questionnaires to be used in the study. Provide copies when possible.

**Procedures:** Describe step-by-step how your study will be conducted. Include a time-table for completing data collection.

4. Analysis Plan and Potential Interpretations

Describe how you plan to analyze your data. These analyses must be appropriate for answering the research questions you are asking. You may seek input from faculty and other experts in developing this section in particular. Be explicit about linking analyses to research questions or hypotheses. Be sure to:

- choose statistical/qualitative analyses appropriate for the design and type of data to be obtained in the proposed study;
- articulate a clear rationale for statistical or qualitative analyses chosen;
- understand the implications, problems, and expected difficulties of interpretation using particular data analyses;
- determine how the analyses will proceed, e.g., obtain support to enter data into the statistical program, obtain consultation of a statistician, etc.

Describe the implications of your anticipated results. What will your findings mean in terms of your research question? How will information from your study affect the profession or knowledge development. Students are encouraged to provide a projected timeline for the various stages of the project as part of this section.

5. References:

List all references you cited in the proposal, following APA style. Students are encouraged to make use of EndNote™ (see [http://library.kumc.edu/endnote-resources.xml](http://library.kumc.edu/endnote-resources.xml)) or similar referencing software.

IV. Defense of Dissertation Proposal

Once the mentor has approved the written proposal document, but prior to proceeding with implementation of the dissertation project, the student must formally defend the research proposal to the dissertation committee. The student should allow at least two weeks between delivering the final written proposal draft to the committee members and the scheduled defense date, in order to allow adequate time for the committee members to read and evaluate the document.

Note that a “Progress to Degree” form must be completed by the OTEd Graduate Director two weeks prior to the oral defense of the research proposal. That oral defense serves as the Comprehensive Oral Examination required by Graduate Studies at KU Medical Center. The Progress to Degree application requires documentation the student has met a series of requirements. The student and/or research mentor should provide the Graduate Director with:

- the full name of the student
- the date, time, and location of the examination (no title is needed)
- the names, degrees, roles, and department/campus affiliations of the examining committee
- the terms the student is using to claim meeting the residency requirement
- the term when the RS&RS requirement was approved.
- And electronic copy of the approved RS&RS worksheet, including the narrative section
During the proposal defense, the student presents the project, including: problem identification, background literature and rationale for study, hypotheses, procedural details, analysis plan, and expected limitations. The student brings copies of his or her timeline, surveys, descriptions of tests used, intake sheets, consent forms, etc. This is a time for dialogue between the student and the committee in order to clarify any questions, discuss and negotiate any suggested modifications, recommend resources, and provide support to the research efforts of the student. The student should also bring their written comps to the defense to share with committee members if requested.

Criteria for Approval of Dissertation Proposal
Approval is determined based on the following criteria:

- Proposal clearly describes the research problem and the relevance to therapeutic science
- The comprehensive literature review and the student’s discussion of the literature in the oral proposal defense demonstrate the student’s knowledge of both benchmark and current literature in the chosen problem area. The review provides a synthesis and integration of literature that illustrates the status of knowledge in the relevant problem area and provides a rationale for the dissertation study. The literature review is constructed so that it leads to the problem to be addressed in the dissertation study and motivates that study.
- Proposal describes the research design, identifies the variables to be measured and studied, clearly states the hypotheses and/or research questions and the objectives of the research, describes the methods in sufficient detail for the examining committee to evaluate them, and clearly described the planned data analyses.
- The project and its design are sufficiently specific to be practical within the limits of a doctoral dissertation
- The project approach and procedures conform to ethical standards of the professional as well as KU Medical Center’s compliance regulations (http://www2.kumc.edu/compliance/).
- The written proposal document reflects good organization, logical development, good grammar and syntax, and follows APA format.

Proposal Defense Outcomes
Depending on the student’s performance in the proposal defense, the committee may decide to award a “Pass”, a “Conditional Pass”, or a “Fail”.

Once a “Pass” is awarded, the student may enroll in TS990 and work may begin on the dissertation project. No contact with research subjects or their data can take place until the project has received approval by the KUMC Human Subjects Committee.

A “Conditional Pass” is warranted if relatively minor changes are required in order to make the proposal acceptable to the dissertation committee. These changes might include rewrites of a section, addition of other relevant literature, consideration and discussion of alternate approaches or interpretations, addition of other useful measurement tools, etc. In any case, the student will receive specific suggestions from Dissertation Committee members to make the proposal acceptable. These changes must be made and approved by all committee members within 14 days of the proposal defense. If the required work is not completed within that time frame, the “Conditional Pass” is withdrawn, and a “Fail” is awarded.

If the proposal is inadequate, the student will receive a “Fail”. Common criteria for failure include, but are not limited to: (1) inadequate motivation or rationale for the proposed study, (2) inadequate integration of the literature, (3) inadequate link made between the literature review and the problem to be studied, (4) unclear or flawed design, or (5) inability of the student to defend his or her ideas and proposed study design. If a “Fail” outcome is awarded, a second Proposal Defense is required. Specific
suggestions will be provided by the Dissertation Committee members to assist the student in producing an acceptable proposal.

Approval of the Experimental Protocol by Institutional Compliance Committees

Once the dissertation project is approved by the Oral Comprehensive Examining Committee, and before initiating the research project (e.g., before pilot testing instruments, recruiting subjects, or initiating data collection) the student must obtain approval from the appropriate research compliance committees for KU Medical Center and any other institutional entities involved in the research project. For most Therapeutic Science doctoral students, this will be the Human Subjects Committee (http://www2.kumc.edu/researchcompliance/hrpp.htm). The student will also need to complete all training appropriate for the project, including HIPAA training, and to submit a Conflict of Interest form prior to initiating the research. It is the student’s responsibility to obtain current human subjects guidelines and application forms, and to submit an application in collaboration with the Research Mentor. The Research Mentor will be listed as the Responsible Investigator and the student will be listed as a co-investigator. Students must comply with the compliance committee’s recommendations, complete compliance training appropriate for the project, and to conduct research as indicated in the protocol application. Any deviations from the approved version of the protocol must first be considered and approved by the compliance committee. Students should be aware that obtaining protocol approval may take several months or longer, and therefore should plan accordingly.

Helpful Hints for a Successful Dissertation Proposal Process

EARLY IN THE PROCESS

• identify your research mentor
• develop competency in :
  o a word processing program
  o use of APA style in writing (the current edition of the APA manual is available in the KUMC bookstore, and extensive information available on line at http://apastyle.apa.org/)
  o use of a statistical package (e.g., SPSS), or mentorship if naturalistic inquiry will be employed (software licenses can be obtained through KU Statistical Software Office 785-864-0494)
  o EndNote™ or a similar referencing system (available as a free download from myKUMC)
• discuss appropriate authorship for any journal articles that will develop from the research; it is common for the research mentor and student to co-author journal articles

PREPARING THE PROPOSAL

• meet with your research mentor regularly to develop the plan for your proposal
• consult with your research mentor to identify four other committee members
• obtain a commitment from all committee members
• provide a draft of your proposal to your research mentor in advance of your meetings; negotiate with your mentor for an acceptable time frame
• return your mentor’s edited draft each time you submit a new draft
• label each draft you submit with the submission date
• if you do not come into the department regularly and wish your research mentor to mail your feedback to you, please provide self-addressed stamped envelopes; alternatively, consider using editing functions in word processing programs and emailing correspondence.
• As you prepare your proposal, schedule individual meetings with members of your dissertation committee to let them know about your ideas as they develop, and to solicit feedback from the committee.
• photocopying costs are the student’s responsibility

PREPARING FOR THE PROPOSAL DEFENSE
The Proposal Defense focuses on the research methods and analysis plan.

• when your research mentor believes you are ready to defend your proposal, schedule a 2 hour block of time with the committee (approximately 1 hour for defense, 30 minutes for the committee to meet in closed session to discuss your work, and 30 minutes for meeting with your mentor to debrief afterward).
• Once a date has been determined, encourage your mentor to submit KU’s “Progress-to-Degree” form to the Graduate Studies office at least 2 weeks prior to the defense date.
• arrange with OTEd staff to schedule a room (e.g., a small conference room) for the event
• prepare a 30 minute presentation of your study, emphasizing the rationale, hypotheses, design, methods, and analysis. Committee members may ask questions during your presentation; be prepared to get the group back on track after discussions that move away from your central topic. You are responsible for assuring that the design and analysis sections are covered in your defense meeting.
• create visuals depicting your design and analysis in a simple way for the presentation
• remember that your research mentor can cancel your defense at any time if the mentor feels you are not ready
• it is helpful if you draft your protocol materials for submission to the compliance committee prior to the proposal defense; after feedback from the defense and more edits, you will be ready to submit your protocol proposal for approval
• bring supplemental information including surveys, descriptions of tests, intake sheets, consent forms, etc. to the defense

DURING THE DEFENSE
• be prepared to answer WHY questions related to each phase of your plan
• be prepared to discuss the possible impact of your study
• have a note pad and pen available to take notes on decisions/changes that are made during the meeting or ask a committee member to take notes for you so you can focus on the discussion
• bring your written comprehensive exams
• there will be times when the committee discusses an issue with each other; participate in these discussions in a collegial manner and be prepared to take charge of the discussion when appropriate
• be honest about your perspectives; it’s okay to admit you don’t know the answer or haven’t considered a particular perspective; discuss pros and cons of issues; the committee is likely to ask you questions that make you think or reflect on your plans further
• your committee will ask you to leave the room at the end of the defense so they can discuss their impressions in closed session. After a period of time, they will call you back in and discuss their decisions with you
• if others attend your defense, they will be asked to be quiet during the defense; they will be able to ask questions/participate after you finish the presentation. The non-committee members of your audience will be excused before you meet with the committee for their questions.
AFTER THE DEFENSE

- be prepared to meet with your research mentor after the defense to clarify the committee’s recommendations, and to make a plan for revising the proposal, if necessary
- submit your revised research compliance protocol proposal to your research mentor and then, once approved by the mentor, obtain the appropriate signatures and submit the proposal to the appropriate compliance committee(s).
- consider submitting the proposal for funding from appropriate sources; consult with your research mentor
- data collection can begin only after protocol approval is obtained from the HSC and/or other appropriate compliance entities.
- if there are major changes in the research plan, the student should submit them to the committee

Phase 2: THE RESEARCH PROCESS

I. Data Collection

Once the preceding steps have taken place, the student is ready to implement the study. The first step is to enroll in TS 990 Dissertation to obtain course credit for the data collection phase of the project. During dissertation work, students must be continually enrolled as a full-time student (6 hours fall/spring, 3 hours summer) until the student meets 18 hours of TS 990 or until the dissertation is successfully defended (note: in our program students complete much of their scholarly work during TS 980. Students may complete their dissertation in less than 18 hours). Also, to meet graduate school requirements, there must be a minimum of five months between successful proposal defense and dissertation defense.

Careful data collection is crucial to the validity, reliability, truthfulness, and utility of the results. This is a time when close mentoring relationships with faculty are of great value in anticipating errors that could later invalidate results. It is the student’s responsibility to:

1. obtain appropriate research participants;
2. be sure full, informed consent is obtained and documented;
3. maintain participant confidentiality;
4. conduct/arrange rater training when indicated;
5. collect/supervise collection of data;
6. obtain approval of any change from the original proposal with the dissertation committee, and inform the Institutional Review Board of the changes in the protocol
7. maintain complete, consistent, and accurate records of collected data

II. Analysis of Data

The organization and analysis of data depends upon the design and purpose of the study. The planned analyses are carried out with guidance from the research mentor and other committee members as appropriate. The student should consider including a statistician as a member of the committee if the research requires statistical procedures that are uncommon or advanced.
Phase 3: THE DISSERTATION DOCUMENT & PEER-REVIEWED ARTICLES

I. The Complete Dissertation Document

The complete dissertation document contains a number of items, only one of which is the dissertation manuscript. The complete dissertation document must be submitted for consideration by the dissertation committee. Before you begin this process, familiarize yourself with APA Style guidelines (see http://apastyle.apa.org). You should also familiarize yourself with formatting requirements for electronic submission, see http://www.kumc.edu/academic-affairs/graduate-studies/graduation-and-etàd-information.html. Following are the required contents for the complete dissertation document for the Therapeutic Science Program:

Title page with signature lines (The title is a clear and accurate representation of the content of the study which describes the relationship between variables under examination and the sample population(s). You must use the Graduate Studies format found at http://www.graduate.ku.edu/formatting.

Table of Contents

Acknowledgements (optional) This section typically contains the author’s thanks to the faculty, fellow students, and family who gave support throughout the dissertation process. It is appropriate to thank anyone who helped with the process.

Dissertation manuscript This section of the document presents background, findings, and implications of the dissertation research, and should consist of:

1) Abstract
2) General summary of the dissertation, typically 1-2 pages in length and providing an overview of how the following articles relate to the focus of this dissertation.
3) Two or more published, under review, or ready-to-be submitted research articles. Each article should be formatted according to the target journal’s specifications, and be approximately 18 – 25 double-spaced pages long.
4) Overall conclusions and implications emerging from the dissertation research, typically less than 5 pages in length and describing what you believe your findings mean in relation to the larger literature, field of study, or profession. This section should not simply restate your study results.

Appendices – appendix materials should have page numbers that are numbered consecutively from the end of the dissertation manuscript. Appendix materials include:

+ comprehensive literature review and references
+ raw data / coded data
+ data collection forms
+ questionnaires and other measures
+ Human Subjects consent form
+ other tables and figures which are relevant to, but are not part of, the dissertation manuscript

Comprehensive Literature Reviews- Your three literature reviews do not need to be submitted to the committee for your defense, but MUST be submitted as the last three appendices during
electronic submission of the final document. After electronic submission, the comprehensive literature reviews will be bound along with your dissertation manuscript.

Formatting for e-publication: As you begin to consider formatting and writing your dissertation, students should be aware that all KU dissertations must be submitted electronically. The creation and submission of a dissertation using an electronic format has specific considerations and rules. Early in the writing phase, students should learn about these special requirements (http://www.kumc.edu/academic-affairs/graduate-studies/graduation-and-etd-information.html). You will still need to prepare a paper version of the dissertation for your committee, but an awareness of the ETD requirements will prevent the need to reformat your document at the last minute in order to meet graduation deadlines! The most common formatting problems for electronic submission are placement of page #s, use of running head, and Title page. When APA guidelines and ETD requirements differ, the student should follow the ETD requirements. It is wise to have your final document reviewed for formatting issues by a staff member of KUMC’s Graduate Studies office at least 1 week to the final electronic submission deadline.

Copyright: As you develop the dissertation, you should be aware that a final requirement will be submitting the dissertation for electronic publication through KU ScholarWorks. If your dissertation will include articles that have already been published, you will need to secure permission from the copyright holder (typically the journal) allowing your to include the published article in your dissertation. If you anticipate this requirement and secure the permission as you submit the article for publication in the journal, that will make the final step in the dissertation process go more smoothly. You can refer to the “copyright” section later in this document for more details.

II. Writing The Dissertation Manuscript

To meet this requirement, the dissertation manuscript is to be written in the form of two or more journal articles, following APA guidelines for format and style. For more extensive guidance on each of these sections, see the Publication Manual of the American Psychological Association (http://apastyle.apa.org/ and/or the current paper version of the APA Manual).

General Abstract. This abstract is a brief, overall description of the project. It includes a statement of the purpose and scope of the study, a general description of the procedures, and a summary of the major findings and conclusions. It must conform to Graduate Studies guidelines (350 words).

General Summary: An overview of the dissertation topic and most relevant literature, typically 1-2 pages in length and providing insight on how the following articles relate to the focus of this dissertation. This section should be brief and is intended to provide a perspective for the reader – a detailed review of the literature will be provided later, in the research articles and as part of the appendices. An expectation for all dissertations is that a scholarly treatment of the topic be provided, and this is an integral aspect of the dissertation process. The literature reviews you completed for the comprehensive oral examination (the proposal defense) serve this purpose in the Therapeutic Science program, but they are not included as part of the dissertation manuscript. These more extensive comprehensive literature reviews and associated references are to be included in the dissertation document as appendices.

Two or more original research articles: Each article will be formatted according to the journal chosen for publication of that particular manuscript. The articles should be published or in the process of being reviewed at the time of the defense. Each article typically will have the following format, although specific requirements of the journal may alter this format:
**Introduction.** A presentation of the problem under study, a description of the research strategy used to address that problem, and a brief summary of relevant literature. This section includes a statement of the purpose and rationale supporting the study reported.

**Methods.** The experimental method and procedures are described clearly so that replication is possible. This section includes a description of the subjects, of the instrumentation or apparatus, and it describes the procedures, designs, and methods of data gathering.

**Results.** This section summarizes the data collected, the statistical treatment of these data, and figures or tables presenting these data.

**Discussion.** This section includes evaluation and interpretation of the findings reported in the results section, especially with respect to initial hypotheses. This section refers to relevant literature related to the findings and conclusions, and a discussion of possible implications of these results as they relate to theoretical and clinical literature and to professional practice.

**References.** This section includes the references for all works cited in this article. The references should be formatted according to requirements of the journal to which the article(s) will be submitted. Note that this may require the citations and references later to be re-formatted in the version of the complete dissertation document the student will submit for electronic publication as required by Graduate Studies. You are encouraged to use some form of electronic formatting system for your references (e.g., EndNote) as this will allow you to re-format these references relatively easily.

**Overall conclusions:** This section should be a brief statement of your perspective on the studies you have conducted during your dissertation. This information should be presented in a larger perspective, rather than a re-statement of the results you already have presented in the preceding articles. You may include a reflection on the meaning of your findings, insights gained, lessons learned and any additional figures, tables, or citations that support your observations.

**General References:** Any references to this point from the General Summary or the Overall Conclusions not included in the preceding articles.

**Appendices.** This section includes the three literature reviews (and associated references) written as part of the comprehensive examination process, test instruments, raw data, and any other materials as appropriate. Consult with your mentor to determine the materials you will need to include.

**III. Peer-reviewed articles**

A requirement of the Therapeutic Science program is that award of the doctoral degree is contingent upon the candidate having 2 or more articles either accepted or under review in peer-reviewed venues. These articles may address different aspects of the dissertation research, or may be a combination of one article based on the written comprehensive material and one article based on the dissertation research. Students should work closely with the mentor(s) to develop a plan to meet this requirement, and work diligently to have the articles under review (not just submitted) prior to awarding of the degree.

Note that publishing an article in a journal and then including that article in the dissertation involves copyright permissions because the journal is likely to hold the copyright for the article, and you’ll need to seek permission to publish it with your dissertation in KU ScholarWorks. This process is easier if you seek copyright permission as you submit the article to the journal. It is more difficult if you leave this until the last minute, with a submission deadline for the dissertation looming! As you begin to prepare the article for submission to the journal, you should view a video guide on this topic, made available by Dykes library as part of the library’s on-line resources (http://guides.library.kumc.edu/content.php?pid=312363&sid=2556744). You should also plan to speak with your mentor and with the Dykes library staff member who serves as the copyright resource (as of
2012 this is Crystal Cameron-Vedros). This Handbook later describes the copyright requirements in more
detail, in the “Other Important Things to Know – Copyright” section.

Phase 4: ORAL DEFENSE OF THE DISSERTATION

I. The Final Semester
The Application for Degree (AFD) must be completed and submitted by the student using Enroll & Pay
early in the semester in which the student anticipates completing all requirements for the dissertation,
including the dissertation defense. This form may be submitted during enrollment for the final semester,
but it must be submitted by the deadline date set by Graduate Studies. If the AFD is submitted but all
graduation requirements cannot be met by the deadline for graduation, the student should contact the
Registrar’s office and request the AFD be deactivated for that term. Once the deactivation has taken place
(typically within 24 hours) the student should submit a new AFD targeted for the next term. Students
should also consult the graduate checklist available through the Graduate Studies website:
http://www.kumc.edu/Documents/graduate%20studies/grad_cklist.pdf

II. Oral Defense of Dissertation
Doctor of Philosophy examinations are administered by a committee consisting of at least five members
of the Graduate Faculty. The Oral Examination Committee and the Dissertation Committee always have
the same members. The examination is held during the semester of the student’s final enrollment in
dissertation hours. The student should first identify an examination date agreeable to all members of the
Dissertation Committee and prior to the Graduate Studies deadline (this often is a difficult task). The
student’s mentor then initiates a formal request to the Graduate Studies office to schedule the
examination. This request is made on the University’s Progress-to-Degree Form (See Appendix D),
which must be submitted by your mentor at least three weeks in advance of the desired examination date.
The Graduate Studies office will formally announce the defense to the University of Kansas Medical
Center two weeks prior to the defense so people outside the committee have the opportunity to attend.
Examination deadlines related to graduation dates are set each semester by the Graduate Studies office
(typically early December for a Fall graduation, mid July for Summer graduation, and early April for a
Spring graduation, see: http://www.kumc.edu/academic-affairs/graduate-studies/calendars.html)

The oral comprehensive examination for doctoral students in Therapeutic Science is the student’s formal
defense of the dissertation. This defense is typically 2 hours in length. In addition to questions of
scientific merit, contribution to therapeutic science knowledge, and implications for further research
activities, questions are addressed to the student to assess competency in the individual’s field of study.

The suggested procedure for the oral examination follows:

1. The student summarizes the dissertation in a logical, formal presentation detailing the background
   of the problem studied, the actual problem and its ramifications, the methodology, analysis of
data, major findings, and recommendations for further research based on the conclusions of the
study.
2. The Dissertation Committee members then discuss the dissertation with the student, raising
   questions for further clarification of content.
3. Each Dissertation Committee member questions the student. The questions may focus on
   interpretation, how the research affects the student’s area of study, how the research relates to
   other areas, how the research process will be used in the future, and what further research is
   needed.
4. After the examination has been completed, the student is asked to leave the room. At this time, committee members evaluate the student’s dissertation and presentation. Following their discussion, the student is invited back into the examination room and is informed of the committee’s decision.

There are two possible outcomes for the Dissertation Defense: “Pass” or “Fail”. The criteria for obtaining a “Pass” are as follows:

Criteria for Passing:

1. Problem is well defined.
2. Literature review is complete and appropriate.
3. Study is well designed.
4. Data are analyzed appropriately.
5. Results are related to a broader problem area.
6. Implications for your profession are stated clearly.
7. Student responds appropriately to questions posed by Committee.

If the dissertation meets the criteria to pass, the “Progress-to-Degree” form is signed by the mentor and returned to the Graduate Studies office. The title listed on the Progress-to-Degree must be exactly the same as the title on the cover page of the dissertation. Even if the dissertation is found “satisfactory”, committee members may still suggest edits before official submission of the dissertation.

If the committee believes that the dissertation is exceptional, they may wish to nominate the student for graduation honors. In order to obtain honors for the student, the dissertation committee chair must prepare a written letter of nomination outlining the outstanding character of the dissertation project. This nomination letter (and any supporting materials) is then circulated to the graduate faculty in the OTeD department for approval. If the majority of the graduate faculty agrees that the student deserves honors, then the dissertation committee chair indicates honors on the Progress-to-Degree form before it is submitted to Graduate Studies to verify the defense outcome. An honors nomination requires that the dissertation committee chair not sign the Progress-to-Degree following successful defense of the dissertation until the nomination has been voted on by the graduate faculty. Because this may take some time, the dissertation committee chair is advised to be mindful of the student’s timeline and Graduate Study deadlines for submitting the completed Progress-to-Degree form.

If the dissertation does not meet the criteria for passing, and is found to be unsatisfactory, written recommendations are given to the student. The examination is rescheduled within a time period stipulated by the committee and according to Graduate Studies guidelines.

HELPFUL HINTS FOR A SUCCESSFUL DISSERTATION DEFENSE

PREPARING YOUR DISSERTATION DOCUMENT
- meet with your research mentor regularly to review your draft document
- provide a draft of your dissertation to your research mentor in advance of your meetings
- if you haven’t already obtained copyright permission for any published articles, do so now!
- plan for several revisions as you obtain feedback from your research mentor
- as you are working on your dissertation document, arrange individual meetings with your committee members to share your findings with them and obtain advice on interpretations
- use APA style manual for format
• submit your completed dissertation to your committee at least three weeks prior to your dissertation defense; use those weeks to prepare your oral presentation
• make a plan with your research mentor about submitting your article to a journal and which one would be appropriate
• become familiar with the formatting requirements of the Department and the University (e.g., ETD-electronic theses and dissertation submission) to limit the need for last minute reformatting of the final document

PREPARING FOR YOUR DEFENSE PRESENTATION
• schedule a 2 hour block of time with the dissertation committee (approximately 1.5 hours for defense and 30 minutes for meeting with your mentor afterward) when your research mentor believes you are ready to defend your dissertation findings
• be conscious of the deadline for submitting the final dissertation each term and plan accordingly. Your committee members have other personal and professional responsibilities occurring near the end of the term; they may also serve on the committees of other students and scheduling conflicts may arise; adequate time must be given for the faculty to review the document carefully prior to the defense; revisions to the dissertation are common after the defense and must be completed prior to submitting the final document in time for the deadline.
• schedule a room for the defense (large enough to accommodate an audience)
• prepare a 30 minute presentation of your study findings, emphasizing the findings and interpretation. Committee members may ask questions during your presentation; be prepared to get the group back on track after discussions that move away from your central topic. You are responsible for continuing to make progress through the discussions. You will need to focus on your findings and interpretation for this presentation (i.e.: results and discussion of your dissertation).
• create visuals depicting your findings in a simple way for the presentation
• prepare copies of your title page to obtain signatures at your defense
• practice the presentation until you are confident that you can present the material fluidly and clearly
• contact committee members to ensure they received your dissertation and ask if they have any questions you can prepare for

DURING THE DISSERTATION DEFENSE
• be prepared to answer WHY questions related to each phase of your findings; also be prepared to discuss why you selected various analyses
• consider how your study relates to the “big picture”
• be prepared to discuss the possible impact of your study
• have a note pad and pen available to take notes on decisions/changes that are made during the meeting or ask a committee member to take notes for you so you can focus on the discussion
• there will be times when the committee discusses an issue with each other; participate in these discussions in a collegial manner and be prepared to take charge of the discussion when appropriate
• be honest about your perspectives; discuss pros and cons of issues; the committee is likely to ask you questions that make you think and reflect on your interpretations further
• your committee will ask you to leave the room at the end of the defense so they can discuss their impressions. After a period of time, they will call you back in and discuss their decisions with you.
• if others attend your defense, they will be asked to be quiet during the defense; they will be able to ask questions and participate in discussions at the end of the presentation. They will, however, be excused when the committee begins to ask questions
AFTER THE DEFENSE

- obtain signatures from your committee members on your title page now, so you won’t have to find them at a later time to obtain these signatures
- meet with your research mentor to review the recommendations for your dissertation
- make edits, get approval page signed once edits are done, and submit your dissertation to the Graduate Studies office by the appropriate deadline
- make necessary edits and submit your article to a journal within a month or so of your defense
- submit the Doctoral Completion Survey (http://graduate.ku.edu/doctoral-completion-survey)
- CELEBRATE!

PROCESSING DOCTORAL DISSERTATION

After the dissertation has been successfully defended but before it can be submitted for final processing, the student must establish that the document complies with University regulations for electronic submission of a dissertation. This information is available on-line: http://www.graduate.ku.edu/~etd/

You also will need to 1) submit a completed release form, allowing your finished dissertation to be placed in an electronic depository at KU ScholarWorks (http://kuscholarworks.ku.edu/dspace/), and 2) obtain signatures and submit both the original Title page and original Acceptance page to the Office of Graduate Studies to document your committee’s acceptance of the final version of the document.

You strongly are encouraged to prepare the electronic version of your complete dissertation document with sufficient lead time prior to the submission deadline so that you are able to have a staff member in the KUMC Graduate Studies office review your document to be sure it complies with the University’s formatting requirements. Keep in mind that the deadline applies to all graduate programs, and that your dissertation will not be the only document being reviewed by the Graduate Studies staff. Also keep in mind that some of these formatting details (e.g., format of references) may be different in the version of the complete dissertation document your submit to your dissertation examining committee and the version you submit for electronic publishing through KU ScholarWorks.

NOTE: Although an electronic version of the dissertation is required by the University of Kansas, the Department of OT Education requires that the student provide two paper copies of the dissertation: one bound copy for your committee chair, and one bound copy for the department library. Although optional, students often also choose to provide bound copies of the dissertation to all members of the examining committee as a courtesy.

STYLE AND FORMAT

In addition to documenting that the student has done significant scholarly work in Therapeutic Science, the dissertation must also meet acceptable standards of clarity, form, and expression. The University of Kansas Instructions to Candidates (Appendix E) contains specific details regarding the standards by which all dissertations will be judged for final approval by Graduate Studies. It is important that each student take responsibility for the quality of the writing and editing of the dissertation. Those who have difficulty in this area may want to consider hiring an editor, a practice that is not uncommon among dissertation students.

Students must comply with the University of Kansas guidelines for dissertation completion, Instructions to Candidates for Any of the Doctoral Degrees, included in Appendix E. Failure to comply with each of these instructions may result in a delay in granting the degree.
Other Important Things to Know

Academic and Professional Conduct
The Occupational Therapy Education Department and faculty mentor expect the student to participate fully in the educational opportunities provided as part of the Therapeutic Science program of studies. The nature of program requires high standards of ethical conduct, mutual trust and respect. It is the expectation that the student will engage in scholarly acquisition respectfully and with highest ethical standards for self and others.

Academic misconduct includes knowingly breaching an individual’s right to privacy and confidentiality, by disclosing protected education or health information as specified by FERPA and by HIPAA regulations. Such breaches may include accessing an electronic academic or health record in an area where others can view it, printing of information at an unauthorized printer, storing protected information on laptops or flash drives, and sharing details of patient information in public – including conversations in elevators or other public areas, posting information to social networking sites such as FaceBook or Twitter, texting or emailing protected information through non-secure systems, or photographing sensitive material using a cell phone or other electronic device. Note that such breaches also are violations of the KUMC Compliance policies related to ethical conduct of research using human subjects.

Please refer to the School of Health Professions Student Handbook for the policy regarding academic misconduct. Reported acts of academic or non-academic misconduct will result in referral to the departmental Academic Integrity and Professional Standards System for investigation/resolution. Each student and faculty member commits to “uphold profession standards through ethical academic participation” in accord with this Honor Pledge:

“As a member of the academic community, I pledge that I will not tolerate or engage in academic or non-academic misconduct and will uphold the academic integrity and professional standards of this program and my profession.”

Grievance Procedure
“A graduate student who believes himself or herself unfairly or unlawfully treated in an academic matter may present a grievance to the department or program chairperson. A student unwilling to accept the decision at the department or program level may appeal to the Graduate Division of the school or college for consideration. Similarly, a student unwilling to accept the decision at the Graduate Division level may appeal to Graduate Studies, where the grievance will be considered under guidelines established by the Standing Committee charged with student affairs and the Executive Committee of the Graduate Council. For information on these guidelines, contact the Graduate Studies office, 785-864-4141.” (The University of Kansas Graduate Studies Catalog; http://www.catalogs.ku.edu/graduate/)

Costs
The student is responsible for all costs involved in completing the research project. Expected costs might include: research supplies, subject fees, data collection costs, mailing, typing, editing, printing, duplicating, fees for figures or drawings, etc.

Students may consider seeking financial support for their dissertation research project. Possible sources of funding include granting agencies, professional organizations, and foundations. The Research Mentor or the Director of Graduate Studies may have additional suggestions for sources of funding.

Dissertation Copies
Bound copies of the dissertation can be purchased during electronic submission of the dissertation or through another binding company. Students must provide one bound copy of their dissertation to their
committee chair and one bound copy for the Occupational Therapy Education Department. Providing bound copies to other members of the examining committee is an optional but common courtesy. If you choose to make additional bound copies (one for yourself, one for parents, etc.) this is a good time to place those orders!

**Determination of Authorship**

It is important to decide before beginning a project how authorship of any journal manuscripts resulting from the dissertation will be handled. Guidelines for deciding on authorship are given in the Publication Manual of the American Psychological Association. Students may bring this issue to committee for discussion once the proposal is approved. Delineating authorship at the beginning of the project, rather than the end, will help to avoid misunderstandings and will help to define what roles each member of the committee will assume during the dissertation process. In addition, the opportunity to re-negotiate authorship should remain a possibility because roles may evolve as the scholarly process takes place.

Two manuscripts based on the dissertation must be submitted for publication within 3 months of the successful defense of the dissertation. If the student does not submit the manuscript within a 6-month time frame, the mentor may submit the manuscript and authorship may be renegotiated.

**Copyright**

Copyright is optional and costs an additional $65 (as of 2012). Follow the instructions for establishing copyright that are provided as you electronically submit the dissertation, and include the copyright fee with your electronic submission fee. Crystal Cameron-Vedros (Dykes Library) is the copyright expert for our campus, and she will be able to answer any questions you may have about the process.

When uploading the dissertation for e-publication through KU ScholarWorks, there is a requirement the use of copyright protected content must come with a written permission from the owner (typically, the publisher of the journal in which your article appeared). This could be in the form of the transfer agreement that states the use is permitted, or from a publisher’s written permission. For any articles or other materials that already have been published, if you are the author and you have secured copyright permission from the publisher, this is when you will need to provide that information. Since this step of the dissertation process often is done under pressure of a deadline, you should consider attempting the submission earlier rather than later so someone can help you if you run into problems.

If there is no agreement in place, then the student needs to plan ahead and contact the publisher to make a permission request. There are publishers who do grant permissions for authors who are students to use the content of published articles in dissertations. The wording will be in the copyright transfer agreement.

If the student is not the author, permission to use the material definitely is required. Including a citation to the article, without including the full text, does not require copyright permission.

**Related resources:**

1) Dykes library has a subject guide about publishing and copyright. The link below opens a 5-minute video on how to read and sign a copyright transfer agreement:
   http://guides.library.kumc.edu/content.php?pid=312363&sid=2556744
2) The Graduate Studies policy on copyright:  http://www.copyright.ku.edu/
3) The KU ScholarWorks webpage (http://kuscholarworks.ku.edu/dspace/) provides additional information related to copyright, and the following is relevant for those who will be including previously-published material as part of the dissertation:
   • http://www2.ku.edu/~scholar/docs/copyright.shtml
   • http://www2.ku.edu/~scholar/docs/publishers.shtml
Appendix A: PhD FLOWCHART

This flowchart was developed to help students in the Therapeutic Science program conceptualize the relative times when different activities may take place during the doctoral process. These details have some degree of flexibility - please consult with your academic advisor and research mentor to discuss options. A full-time student generally should expect to take 4-5 years to complete the program. Students pursing the degree on a part-time basis will require proportionally longer. Unless special circumstances arise, the program must be completed within 8 years.
Appendix B: Student Tracking Form

This form is used by faculty mentors to help keep track of the courses a student has taken or plans to take in the future. The most up-to-date version of the form resides on the Department server, although students also may want to keep a copy for your own records. You and your mentor should revisit this document regularly, and at least once a year, throughout your time in the program.

### Therapeutic Science Program Student Progress Report

<table>
<thead>
<tr>
<th>OT Courses</th>
<th>Date:</th>
<th>Grade</th>
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</thead>
<tbody>
<tr>
<td><em>(Theory course in concentration area)</em></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TS 850 From Beliefs to Evidence</td>
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<tr>
<td>TS 900 Interdisciplinary Views of Disablement</td>
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<tr>
<td>TS 950 Designing Effective Knowledge Transfer</td>
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</tbody>
</table>

#### Elective Courses (please provide course name and number)

1. Interdisciplinary Elective:  
2. Interdisciplinary Elective:  
3. Advanced Study Elective:  

#### Focused Scholarship (use TS 880 special projects for these credits)

*Must accumulate at least 12 credits here*

Work w/ Research Mentor to complete work, e.g., literature, studies, mentoring

**MUST** submit at least 2 publications to refereed sources [before dissertation]

#### Research Courses (please provide course name and number) at least 12 credits—6 hours of research design and methods, 6 hours of statistics/analysis

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#### FLORS: submit documentation of how you met competencies in program

#### Dissertation Hours (18 credits required)

- TS 980 Advanced Study in Therapeutic Science
- TS 990 Dissertation

**Academic Advisor:**  
**Research Advisor:**  

**Dissertation committee:**
Appendix C: Research Skills & Responsible Scholarship (RS&RS) WORKSHEET

Student: ____________________________ date: ____________

Mentor: ________________________________

Second reviewer: ________________________________

The purpose of this RS&RS requirements are to ensure the student is capable of implementing design and analysis procedures, instructional approaches, and service activities appropriate to the chosen content emphasis. Please refer to the RS&RS policy statement for details (http://policy.ku.edu/graduate-studies/research-skills-responsible-scholarship). The goal of achieving the other competencies is to support the student in developing additional tools necessary for solving applied problems through a process that is thoughtful, strategic, and evidence-based, for developing practical and useful teaching skills, and for developing leadership skills in promoting advancement of knowledge and practice.

<table>
<thead>
<tr>
<th>RS&amp;RS REQUIREMENT:</th>
<th>Plan for meeting competency</th>
<th>Date completed</th>
<th>initials</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Research skills:</strong> Research design and methodology, methods of qualitative data analysis, methods of quantitative data analysis, computer programming appropriate to the study or analysis, laboratory skills or other research techniques necessary for the discipline, knowledge of languages appropriate to the field of study.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Responsible Scholarship:</strong> Protection of human subjects, welfare of laboratory animals, conflicts of interest, data management, Mentor/student responsibilities, collaborative research, authorship, publication, plagiarism, copyright, peer review, professional practices, maintenance of confidentiality, appropriate research conduct, and identifying research misconduct.</td>
<td></td>
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</tr>
<tr>
<td><strong>Applied research skills:</strong> research design, analysis, &amp; dissemination; these skills are</td>
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</tr>
</tbody>
</table>
beyond those of the basic research requirements for doctoral degrees, and should include advanced training in theory and in practical applications of multiple research methodologies (e.g., beyond those employed in the dissertation research)

| Teaching: curriculum development, course development/lectures, continuing education, client education, staff development, or advocacy. |
| Service: Provide leadership in practice, education, or research settings, participate in committees, participate in outreach experiences. |

In a separate document, provide details describing how you have achieved competency in conducting research, and discuss how particular experiences have furthered your development as a doctoral candidate. This should take the form of a petition, in which you seek to convince reviewers that your academic and practical experiences in the TS program have prepared you to develop, conduct, analyze, and disseminate a significant research investigation that contributes to and extends the existing literature in a novel manner. Submit both this worksheet and your petition to your research mentor. You and your mentor together should then identify a second reviewer, who must be another OTEd faculty member and also a member of the Graduate Faculty.
Appendix D: LETTER TO EVALUATORS

[date]

To:

From:

Re: [name] written preliminary exams

Thank you for agreeing to serve as a mentor in ----’s progress in the Therapeutic Science doctoral program. Once a major portion of the student’s coursework is completed and the research skills requirement is met, the Therapeutic Science program specifies a two-stage process leading to the dissertation. The first stage is a three-part written preliminary examination, which consists of a set of three comprehensive literature reviews, or two comprehensive literature reviews and a pilot research study. The second stage is the oral comprehensive examination, which consists of both a written and oral defense of the dissertation proposal.

Attached is a document summarizing one of ----’s comprehensive activities. Three faculty will read each paper. We ask that you respond with feedback for the student, and also provide an overall judgment about the acceptability of the work using the following categories:

_____ Pass
_____ Pass with revisions suggested (committee chair to review changes)
_____ Resubmit to committee member for re-review (you want to see it again yourself)

To aid in your evaluation, we provide the following guidelines. We want these comprehensive literature reviews and/or research project to contain several key elements. First, the student needs to include the salient literature covering the topic of interest. Second, the student needs to produce good writing with a structure that includes a clearly articulated plan, transitions, and good organization. Third, the student must demonstrate a synthesis of information and insights gained (not just report details) and be able to discuss alternative interpretations and theories regarding relevant phenomena. Finally, the student must demonstrate an integration of knowledge (e.g., what do we know, what might we infer, what does it mean).

Please return this form indicating your overall judgment, the summary of your feedback (e.g., as you would for a journal article review) and the paper with your comments. As ----’s mentor, I will compile the materials and send the student a packet containing everyone’s feedback. I also will also tabulate the committee’s overall judgments and inform the student of the outcome. In the case of disagreement among reviewers on the acceptability of a given paper, the majority vote will stand.

Thank you so much for your contributions to ----’s learning and to the Therapeutic Science program. If you have questions, please contact me.
Appendix E: The “PROGRESS-TO-DEGREE” Form

When you and your dissertation chair agree you are ready to defend your dissertation, the “Progress to Degree” form is the official document that must be submitted to the University. A Progress-to-Degree form is available on-line, but can only be submitted by the Graduate Director for the Therapeutic Science program (http://www2.kumc.edu/aa/gradstudies/progressstodegree.html).

A single on-line form is used both BEFORE and AFTER the dissertation defense. The Graduate Director for the Therapeutic Science program (not the research mentor!) must submit a Progress-to-Degree form two weeks prior to the oral comprehensive exam (dissertation proposal defense), and three weeks prior to the final oral examination for the dissertation. When submitting the Progress-to-Degree form prior to the oral exam/proposal defense, the form also should include documentation that the Research Skills and Responsible Scholarship requirement (RS&RS; formally this was FLORS) has been completed successfully.

**BEFORE THE DISSERTATION DEFENSE**

The PROGRESS-TO-DEGREE form must be submitted on-line at least three weeks prior to your scheduled defense. The OTEd graduate director is responsible for this task; be sure your research mentor and the graduate director coordinate plans in time to meet this deadline!

**AFTER THE DISSERTATION DEFENSE**

**EXAMINATIONS SECTION**
Following the dissertation defense, the section of the Progress-to-Degree form titled “Examinations” is completed by the Graduate Director. Depending on the outcome of the defense, the Research Mentor will instruct the Graduate Director to enter Honors, Satisfactory, or Unsatisfactory.
Appendix F: Instructions to Candidates

This information is also available on the KUMC Graduate Studies website, check there for the most updated information, [http://www.catalogs.ku.edu/graduate/](http://www.catalogs.ku.edu/graduate/)

UNIVERSITY OF KANSAS - GRADUATE STUDIES

Instructions to Candidates for Any of the Doctoral Degrees

I. Plan ahead:

Become familiar ahead of time with all the requirements for completing your degree. Visit the Graduate Studies website ([http://www2.kumc.edu/aa/gradstudies/grad_grad.htm](http://www2.kumc.edu/aa/gradstudies/grad_grad.htm)) and read the information presented there. In particular, obtain a copy of the “Graduation Checklist” ([http://www2.kumc.edu/aa/gradstudies/grad_cklist.pdf](http://www2.kumc.edu/aa/gradstudies/grad_cklist.pdf)) and review the steps related to obtaining a doctoral degree carefully.

II. "Application for Degree" form:

Use Enroll & Pay to complete the Application for Degree by the Graduate Studies deadline of the semester you will graduate. [http://www2.kumc.edu/aa/gradstudies/grad_grad.htm](http://www2.kumc.edu/aa/gradstudies/grad_grad.htm)

III. Final Examination

Degrees are granted three times a year (May, August and December). So that the candidate may be considered for a degree on one of these dates, the general examination over the major field must be held before the deadline set by the Graduate Division. Arrangements for this examination must be made with the major department, which will ask the Graduate Division Office if the candidate is eligible to take the examination, and if so, procure an examination form on which to report the results. The request for permission to hold the examination must be made in advance of the examination date by a period of time set by the candidate's Graduate Division.

IV. Dissertation

After acceptance of the dissertation by your committee, verify that your document, including illustrations, meets the format requirements for electronic submission ([http://www.graduate.ku.edu/formatting](http://www.graduate.ku.edu/formatting)), and then submit it. The document will be reviewed by Graduate Studies and you will be notified of any formatting problems. Graduate Studies will officially accept the dissertation when they confirm the final document meets ETD requirements. Note 1) that the original Title page and the Acceptance page must also be submitted to the Office of Graduate Studies to document your committee’s acceptance of the final version of the document, and 2) that there is a fee associated with the submission process ($60 in fall of 2007).

You also are responsible for supplying two bound copies of the dissertation (one for the committee chair and one for the Department library). These can be purchased when submitting your dissertation electronically, or from another binding company.
The form of the table of contents, the organization of the bibliography, the stylistic practices represented in the footnotes, the placement of the footnotes and the pagination are matters which are ordinarily decided by the student in conference with his or her committee, particularly the chair of the dissertation committee. The bibliography should be placed ahead of the appendices. For further information on writing a dissertation, please consult your department and/or style books on writing theses on file in the University Library or available for purchase from book stores. (Formats required by publishers for book and journal items are usually not satisfactory for theses and use of them may result in your dissertation being rejected. Before using guidelines of this kind be sure they are acceptable to the department and the Graduate Division).

**IV. Student’s Responsibilities**

Each candidate for a doctoral degree is responsible for:

A. Electronic submission of the Application-for-Degree form prior to the deadline for the semester in which you plan to graduate.
B. Seeing that a date, time, and place for final examination for the degree is scheduled (see III.) and that the information is forwarded to the Graduate Division.
C. Checking with the department that all work is completed and grades are sent to the Graduate Division Office.
D. Submitting an electronic copy of the dissertation as well as the original Title page and Acceptance page. (see IV).
E. Payment of a fee ($60 in fall 2007) to defray the cost of electronic dissertation submission.
F. Submit a signed copy of the Release Form for KU Scholarworks
   (http://www.graduate.ku.edu/submitting)
Appendix G: APA “Style Tips” and “Guide to Authorship”

The APA Manual is a useful reference tool for determining the proper way to format a document for publication and the proper use of grammar and punctuation. There also exist a number of elements of expression that are of critical importance and that all writers should consider as they develop a manuscript. These include use of person-first language, use of bias-free language, referencing electronic media, determining authorship, and ethical issues related to research and publication. APA has recognized the importance of these elements and has made both the guidelines and the discussions surrounding them available on-line (http://apastyle.apa.org/).

Students and their mentors should become familiar with these topics early in the dissertation process.

APA Style FAQs: (http://www.apastyle.org/faqs.html) (be sure to read these!)

APA Style Tips: http://www.apastyle.org/styletips.html
